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Address to:

Box Patent Application
 Assistant Commissioner for Patents
 Washington, D.C. 20231

Attorney's Docket No. SONY-T0988First Named Inventor RYUJI ISHIGURO

UTILITY PATENT APPLICATION TRANSMITTAL
 (under 37 CFR 1.53(b))

SIR:

Transmitted herewith for filing is the patent application entitled:

TRANSMITTER DEVICE, TRANSMITTING METHOD, RECEIVER DEVICE, RECEIVING METHOD,
 COMMUNICATION SYSTEM, AND PROGRAM STORAGE MEDIUM

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date August 18, 2000, in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EL387335431US addressed to: Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Susan Ozanne

(Name of person mailing paper)

(Signature)

Enclosed are:

EL387335431US

1. ☒ Transmittal Form (two copies required)
2. The papers required for filing date under CFR § 1.53(b):
 - i. 48 Pages of specification (including claims and abstract);
 - ii. 12 Sheets of drawings.

☐ formal ☒ informal
3. Declaration or oath
 - a. ☒ Unsigned (Combined with Power of Attorney)

ACCOMPANYING APPLICATION PARTS

4. ☐ An assignment of the invention to Sony Corporation is attached (including Form PTO-1595).
 - i. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
5. ☒ Power of Attorney (unsigned) Combined w/Declaration
6. ☐ An Information Disclosure Statement (IDS) is enclosed, including a PTO-1449 and copies of ☐ references.
7. ☐ Preliminary Amendment.
8. ☒ Return Receipt Postcard (MPEP 503 -- should be specifically itemized)
9. FOREIGN PRIORITY

[x] Priority of application no. P11-239205 filed on August 26, 1999 in Japan is claimed under 35 USC 119.

The certified copy of the priority application:

- ☒ is filed herewith; or
☐ has been filed in prior application no. ☐ filed on ☐, or
☐ will be provided.

☐ English Translation Document (if applicable)

08/18/00
 JC906 U.S. PTO

JC875 U.S. PTO
 09/641312
 08/18/00

09/641312 08/18/00

10. FEE CALCULATION

- a. ☐ Amendment changing number of claims or deleting multiple dependencies is enclosed.

CLAIMS AS FILED

	Number Filed	Number Extra	Rate	Basic Fee (\$690)
Total Claims	11 - 20	* 0	x \$18.00	0
Independent Claims	7 - 3	* 4	x \$78.00	312.00
<input type="checkbox"/> Multiple dependent claim(s), if any			\$260.00	0

*If less than zero, enter "0".

Filing Fee Calculation \$1,002.00

50% Filing Fee Reduction (if applicable) \$

11. Small Entity Status

- a. ☐ A small entity statement is enclosed.
b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
c. ☐ is no longer claimed.

12. Other Fees

- ☐ Recording Assignment [\$40.00] \$0
☐ Other fees
Specify _____ \$0

Total Fees Enclosed \$1,002.00

13. Payment of Fees

- ☒ Check(s) in the amount of \$ 1,002.00 enclosed.
☐ Charge Account No. 12-1420 in the amount of \$ ____.
A duplicate of this transmittal is attached.

14. All correspondence regarding this application should be forwarded to the undersigned attorney:

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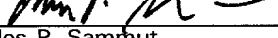
15. Authorization to Charge Additional Fees

- ☒ The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 12-1420. **A duplicate of this transmittal is attached.**

LIMBACH & LIMBACH L.L.P.

August 18, 2000
(Date)

Attorney Docket No. SONY-T0988
[S00P0988US00]

By: 
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Registration No. 28,901
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- 1 -

TRANSMITTER DEVICE, TRANSMITTING METHOD, RECEIVER
DEVICE, RECEIVING METHOD, COMMUNICATION SYSTEM, AND
PROGRAM STORAGE MEDIUM

BACKGROUND OF THE INVENTION

1. Field of the Invention

The present invention relates to a transmitter device, a transmitting method, a receiver device, a receiving method, a communication system, and a program storage medium, and, more particularly, a transmitter device, a transmitting method, a receiver device, a receiving method, a communication system, and a program storage medium, for preventing unauthorized copying of content data and for limiting the number of uses of the content data.

2. Description of the Related Art

Providers, who provide content data such as images and sound, or computer programs to a user, typically encrypt the content data before supplying them to the user in order to prevent unlimited copying of the content data.

In this environment, only an authorized user who owns a predetermined encryption/decryption key can use the content data.

To further strongly prevent unauthorized use of the

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content data, some devices use a technique which allows a unit for reproducing content data and a unit for driving a recording medium storing the content data to mutually or cross authenticate each other.

To limit the number uses of the content data, a provider stores, in a recording medium, data to be used for management of the number of uses of the content data, together with the content data, and provides these data to a user. When the device for driving the recording medium reads the content data stored in the recording medium, the device determines, based on the data for the management of the number of uses of the content data, whether the number of reads of the content data exceeds a predetermined number. When the number of reads of the content data exceeds the predetermined number, the provider inhibits the use of the content data.

The data managing the number of uses is stored in a recording medium together with the content data. If the data managing the number of the uses is transferred back to the original recording medium after the use of the content data, the user uses the content data unlimited number of times.

When the content data is moved to a second recording medium, the data managing the number of the uses may be moved to a third recording medium together with the content data.

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After the content data is moved to the second recording medium, the data managing the number of the uses may be moved back to the original recording medium from the third recording medium along with the content data. In this way, a user may copy the content data unlimited number of times.

In the movement process of the content data to another recording medium, the copying of the content data is repeatedly performed unlimited number of times by impeding the deletion of the content data or the data managing the number of the uses. The user can freely use the content data in a limitless fashion.

SUMMARY OF THE INVENTION

Accordingly, it is an object of the present invention to prevent the unauthorized copying of content data and to limit the number of uses of the content data.

In a first aspect of the present invention, a transmitter device includes a storage unit for storing an encrypted value of second data, a communication unit which, in the authentication of a receive device, transmits the second data to the receiver device while receiving an encrypted value of the second data from the receiver device, and a determination unit which, in the authentication of the receiver device,

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determines whether the encrypted value of the second data received by the communication unit matches the encrypted value of the second data stored in the storage unit.

Preferably, the storage unit inhibits the writing or reading of the encrypted value of the second data in a process other than the authentication process.

Preferably, the storage unit has a tamper resistance.

In a second aspect of the present invention, a transmitting method includes the step of storing an encrypted value of second data, the step of communication, in the authenticating of the receiver device, for transmitting the second data to the receiver device and for receiving an encrypted value of the second data from the receiver device, and, in the authenticating of the receiver device, the step of determining whether the encrypted value of the second data received in the communication step matches the encrypted value of the second data stored in the storing step.

In a third aspect of the present invention, a program storage medium stores a transmission process program. The program includes the step of storing an encrypted value of second data, the step of communication, in the authenticating of a receiver device, for transmitting the second data to the receiver device and for receiving an encrypted value of the

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second data from the receiver device, and, in the authenticating of the receiver device, the step of determining whether the encrypted value of the second data received in the communication step matches the encrypted value of the second data stored in the storing step.

In a fourth aspect of the present invention, a receiver device includes a communication unit which, in the authenticating of a transmitter device, receives, from the transmitter device, second data that describes a limitation on the usage of first data while transmitting an encrypted value of the second data to the transmitter device, and encrypted value generator for generating the encrypted value of the second data based on the second data received by the communication unit, in the authenticating of the transmitter device.

Preferably, the receiver device includes a random number generator for generating a random number having a predetermined bit number, and the communication unit transmits, to the transmitter device, the encrypted value of the second data together with the random number generated by the random number generator.

Preferably, the receiver device includes a usage limiting data generator which generates, subsequent to the reception of

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the first data, third data which describes a limitation on the usage of the first data based on the second data received by the communication unit. The encrypted value generator generates an encrypted value of the third data generated by the usage limiting data generator, and the communication unit transmits, to the transmitter device, the encrypted value of the second data together with the encrypted value of the third data.

In a fifth aspect of the present invention, a receiving method includes the step of communication, in the authenticating of a transmitter device, for receiving, from the transmitter device, second data that describes a limitation on the usage of first data and for transmitting an encrypted value of the second data to the transmitter device, and, in the authenticating of the transmitter device, the step of generating an encrypted value of the second data based on the second data received in the communication step.

In a sixth aspect of the present invention, a program storage medium stores a reception process program. The program includes the step of communication, in the authenticating of a transmitter device, for receiving, from the transmitter device, second data that describes a limitation on the usage of first data and for transmitting an encrypted value of the second

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data to the transmitter device, and, in the authenticating of the transmitter device, the step of generating an encrypted value of the second data based on the second data received in the communication step.

In a seventh aspect of the present invention, a communication system includes a transmitter device and a receiver device. The transmitter device includes a storage unit for storing an encrypted value of second data, a first communication unit which, in the authenticating of the receiver device, transmits the second data to the receiver device while receiving an encrypted value of the second data from the receiver device, and a determination unit which, in the authenticating of the receiver device, determines whether the encrypted value of the second data received by the first communication unit matches the encrypted value of the second data stored in the storage unit. The receiver device includes a second communication unit which, in the authenticating of the transmitter device, receives the second data from the transmitter device while transmitting the encrypted value of the second data to the transmitter device, and an encrypted value generator for generating the encrypted value of the second data based on the second data received by the second communication unit, in the authenticating of the transmitter

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value of the received second data matches the encrypted value of the stored second data; and to authenticate the transmitter device, the receiver device receives, from the transmitter device, second data that describes the limitation on the usage of the first data while transmitting the encrypted value of the second data to the transmitter device, and generates the encrypted value of the second data based on the received second data.

BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 illustrates one embodiment of a recording system of the present invention;

FIG. 2 is a block diagram illustrating the construction of a personal computer 1;

FIG. 3 is a block diagram illustrating the construction of a DVD drive 2;

FIG. 4 illustrates data stored in the DVD drive 2 or a DVD drive 3;

FIG. 5 illustrates part of data that is transmitted through a network 4 when the DVD drive 2 and the personal computer 1 mutually authenticate each other in a cross-authentication process;

FIG. 6 is a flow diagram illustrating a reproduction

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process of content data;

FIG. 7A is a flow diagram illustrating the process of the cross-authentication, and FIG. 7B is a continuation of the flow diagram of FIG. 7A;

FIG. 8 illustrates another embodiment of the recording system;

FIG. 9 is a block diagram illustrating the construction of a personal computer 101;

FIG. 10 is a block diagram illustrating the construction of an MO drive 102;

FIG. 11 is a block diagram illustrating the construction of a hard disk device 104;

FIG. 12 is a flow diagram illustrating a movement process of content data; and

FIG. 13 illustrates a program storage medium.

DESCRIPTION OF THE PREFERRED EMBODIMENTS

FIG. 1 illustrates one embodiment of the recording system of the present invention. A personal computer 1 is connected to a DVD (Digital Versatile Disk) drive 2 through a network 4 that complies with the IEEE (Institute of Electrical and Electronic Engineers) 1394 Standard.

The personal computer 1 performs a cross authentication

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with the DVD drive 2 before the DVD 2 supplies content data, such as sound or images (moving images or still images). In the cross-authentication process, the personal computer 1 receives, through the network 4, content management data describing the condition on the use of the content data supplied by the DVD drive 2. The personal computer 1 updates the content management data in accordance with the usage of the content data by the personal computer 1 (in response to the reproduction and copying of the content data).

The personal computer 1 determines hash values, i.e., one-way encrypted values, of the received content management data and the updated content management data, by applying one-way hash function such as the MD (Message Digest) 5 hash function to each of the content management data received from the DVD drive 2 and the updated content management data.

The personal computer 1 sends the hash values of the received content management data and the updated content management data to the DVD drive 2 together with a random number generated thereby.

After the cross-authentication process with the DVD drive 2, the personal computer 1 receives, from the DVD drive 2, the content data (encrypted), namely, data such as sound and images, and a content key that has encrypted the content data.

The personal computer 1 decrypts the content data with the content key, and reproduces the decrypted content data.

In the cross-authentication process, the DVD drive 2 reads content management data stored in a DVD 3, and sends the content management data to the personal computer 1 via the network 4. In the cross-authentication process, the DVD drive 2 receives, from the personal computer 1, the hash value of the content management data, the hash value of the updated content management data, and the random number generated by the personal computer 1.

After the cross-authentication with the personal computer 1, the DVD drive 2 reads the content data, namely, the data of sound and images, and the content key recorded onto the loaded DVD 3, and sends these data to the personal computer 1 via the network 4.

The DVD drive 2 stores, in a memory to be discussed later, a storage key, which is an encryption key which has encrypted the content key stored in the DVD 3, and a hash value, i.e., a value that has been obtained by applying the hash function to the content management data.

The DVD 3 stores the content data encrypted with the content key, the content key, i.e., the encryption key that has encrypted the content data, and the content management

FIG. 2 is a block diagram illustrating the construction of the personal computer 1. A CPU (Central Processor Unit) 21 executes a variety of application programs and an OS (Operating System). A ROM (Read-Only Memory) 22 stores programs executed by the CPU 21, and arithmetic parameters having essentially constant-value data. A RAM (Random-Access Memory) 23 stores programs executed by the CPU 21 in operation, and parameters that vary in the execution of the programs. These components are interconnected by a host bus 24 composed of a CPU bus and a memory bus.

A user operates a keyboard 28 to enter a diversity of commands to the CPU 21, and a mouse 29 to point to or select a location on screen. A monitor 30 may be a liquid-crystal display device or a CRT (Cathode Ray Tube), and displays a variety of information in text or image. An HDD (Hard Disk Drive) 31 and a FDD (Floppy Disk Drive) 32 respectively drive a hard disk and a floppy disk, and record or reproduce programs and information, respectively onto or from the hard

disk and the floppy disk. The keyboard 28 through the FDD 32 are interconnected to each other through an interface 27, and the interface 27 is connected to the CPU 21 through the external bus 26, the bridge 25, and the host bus 24.

An IEEE1394 interface board 33 is connected to the network 4. The IEEE1394 interface board 33 assembles data supplied by the CPU 21 or HDD 31 into a packet specified by the IEEE1394 Standard, and transmits the packet over the network 4. The IEEE1394 interface board 33 receives data assembled in a received packet and output the data to the CPU 21 or HDD 31. The IEEE1394 interface board 33 also performs predetermined process in accordance with the IEEE1394 Standard.

The IEEE1394 interface board 33 is connected to the CPU 21 through the external bus 26, the bridge 25, and the host bus 24.

Referring to a block diagram shown in FIG. 3, the construction of the DVD drive 2 is now discussed. An IEEE1394 interface board 51 is connected to the network 4, and assembles data supplied by a recording and reproducing unit 52 or a memory 53 into a packet specified by the IEEE1394 Standard. The IEEE1394 interface board 51 sends the packet over the network 4 to the personal computer 1, while outputting data in a packet received through the network 4

from the personal computer 1 to the recording and reproducing unit 52 or the memory 53. The IEEE1394 interface board 51 also performs predetermined process in accordance with the IEEE1394 Standard.

The IEEE1394 interface board 51 performs a cross-authentication process with the personal computer 1. Only during the cross-authentication process, the IEEE1394 interface board 51 reads the data stored in the memory 53 while storing predetermined data onto memory 53.

The memory 53 having an aluminum layer makes it difficult for a third party to understand the internal structure thereof, even if the memory 53 is physically disassembled. The memory 53 is a semiconductor memory and has a tamper resistance that permits the memory 53 to operate within a predetermined limited voltage range so that the memory 53 is hard to separately operate. The memory 53 stores the storage key and the hash value of the content management data.

The recording and reproducing unit 52 is loaded with the DVD 3. The recording and reproducing unit 52 reads, from the loaded DVD 3, the content data, the content key, and the content management data, and outputs these data to the IEEE1394 interface board 51. The recording and reproducing unit 52 feeds the loaded DVD 3 with the content data, the

content key, and the content management data supplied through the IEEE1394 interface board 51.

FIG. 4 illustrates the data stored in the DVD drive 2 and the data recorded in the DVD 3. The DVD 3 records the content key encrypted by the storage key, the content data encrypted by the content key, and the content management data for managing the usage of the content data.

The memory 53 of the DVD 2 stores the storage key, and the hash value that has been obtained by applying the predetermined hash function on the content management data. The storage key or the hash value of the content management data is read from the memory 53 or is updated in value, only when the IEEE1394 interface board 51 performs a cross-authentication process with the personal computer 1.

FIG. 5 illustrates part of data transmitted through the network 4 when the DVD drive 2 and the personal computer 1 perform the cross-authentication process. In the cross-authentication process involved in the usage of the content data, the personal computer 1 generates a random number having a predetermined number of bits (for instance, 64 bits), while updating the current content management data received from the DVD drive 2 in response to the usage of the content data, and generating the updated content management data.

The personal computer 1 applies the one-way hash function such as the MD5 to each of the content management data received from the DVD drive 2 and the updated content management data, thereby determining the hash values of the received content management data and the updated content management data.

The personal computer 1 transmits to the DVD drive 2 the generated random number, the hash value of the current content management data, and the hash value of the updated content management data.

When the DVD drive 2 receives the random number generated by the personal computer 1, the current hash value of the content management data, and the hash value of the content management data updated by the personal computer 1, the DVD drive 2 encrypts the random number generated by the personal computer 1, the current content management data, and the updated content management data.

The DVD drive 2 transmits, to the personal computer 1, the encrypted random number generated by the personal computer 1, the encrypted current content management data, and the encrypted updated content management data.

The DVD drive 2 generates and transmits a random number having a predetermined number of bits (for instance, 64 bits)

to the personal computer 1.

The personal computer 1 encrypts the random number having the predetermined number of bits from the DVD drive 2, and then sends the encrypted random number to the DVD drive 2.

The reproduction of the content in the recording system of the present invention is now discussed, referring to a flow diagram shown in FIG. 6. In step S11, the personal computer 1 and the DVD drive 2 perform a cross-authentication process, thereby generating a common key. The cross-authentication process will be discussed in detail later, referring to flow diagrams shown in FIG. 7A and FIG. 7B. In step S12, the IEEE1394 interface board 51 in the DVD drive 2 reads the storage key from the memory 53, and causes the recording and reproducing unit 52 to read the content key stored in the loaded DVD 3. The read process for reading the storage key stored in the memory 53 may be carried out in the cross-authentication process in step S11. The IEEE1394 interface board 51 decrypts the content key with the storage key.

In step S13, the IEEE1394 interface board 51 encrypts the content key with the common key generated in step S11. In step S14, the IEEE1394 interface board 51 sends the content key encrypted with the common key to the personal computer 1 via the network 4.

content management data. In step S22, the recording and reproducing unit 52 stores the updated content management data in the loaded DVD 3.

In step S23, the personal computer 1 reproduces the content from the decrypted content data. The reproduction process ends.

In this way, the personal computer 1 receives the content key and the content data from the DVD drive 2, thereby reproducing the content.

FIGS. 7A and 7B are flow diagrams illustrating the cross-authentication process performed between the personal computer 1 and the DVD drive 2, corresponding to the process step in step S11 in the flow diagram shown in FIG. 6. In step S31, the IEEE1394 interface board 51 in the DVD device 2 causes the recording and reproducing unit 52 to read the content management data from the loaded DVD 3. The IEEE1394 interface board 51 sends the content management data to the personal computer 1 via the network 4.

In step S51, the IEEE1394 interface board 33 in the personal computer 1 receives, via the network 4, the content management data transmitted by the DVD drive 2. In step S52, the CPU 21 in the personal computer 1 applies the one-way hash function such as the MD5 to the content management data

data is considered to have been tampered with, and the cross-authentication process is aborted.

When it is determined in step S33 that the hash value of the content management data stored in the memory 53 matches the hash value Ha received in step S32, the content management data is considered to be free from any tampering, and the process goes to step S34. The IEEE1394 interface board 51 in the DVD drive 2 encrypts the random number Ra, the hash value Ha, and the hash value Hb, received in step S32.

In step S35, the IEEE1394 interface board 51 in the DVD drive 2 sends the encrypted random number Ra, the encrypted hash value Ha, and the encrypted hash value Hb to the personal computer 1.

In step S57, the CPU 21 in the personal computer 1 encrypts the random number Ra, the hash value Ha, and the hash value Hb.

If both the personal computer 1 and the DVD drive 2 are legitimate, the encryption system and the encryption key in step S34 of the IEEE1394 interface board 51 in the DVD drive 2 are respectively identical to the encryption system and the encryption key in step S57 of the CPU 21 of the personal computer 1. The encrypted random number Ra, the encrypted hash value Ha, and the encrypted hash value Hb provided by the

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personal computer 1 are respectively identical to the encrypted random number Ra, the encrypted hash value Ha, and the encrypted hash value Hb provided by the DVD drive 2.

In step S58, the IEEE1394 interface board 33 in the personal computer 1 receives the encrypted random number Ra, the encrypted hash value Ha, and the encrypted hash value Hb from the DVD drive 2 via the network 4. In step S59, the CPU 21 in the personal computer 1 respectively compares, for matching, the random number Ra, the hash value Ha, and the hash value Hb, encrypted in step S57, with the encrypted random number Ra, the encrypted hash value Ha, and the encrypted hash value Hb, received in step S58. When it is determined that the random number Ra, the hash value Ha, and the hash value Hb, encrypted in step S57, fail to respectively match with the counterparts received, if any, the DVD drive 2 is not legitimate, the DVD drive 2 is not authenticated, and the process ends.

In step S36, the IEEE1394 interface board 51 in the DVD drive 2 generates a random number Rb of 64 bits. In step S37, the IEEE1394 interface board 51 in the DVD drive 2 sends the generated random number Rb to the personal computer 1 via the network 4. In step S38, the IEEE1394 interface board 51 in the DVD drive 2 encrypts the random number Rb.

authentication process. When the content management data has been tampered with, the DVD drive 2 does not authenticate the personal computer 1.

Since the DVD drive 2 stores in the memory 53 the hash value of the newly received content management data having tamper resistance in the cross-authentication process, the hash value of the new content management data is prevented from being tampered.

The personal computer 1 sends, to the DVD drive 2, the hash value of the content management data together with a random number which is generated each time. If any apparatus, pretending to be the personal computer 1, attempts to receive and store the hash value of the content management data for cross authentication, the cross-authentication process will be unsuccessful.

When the number of reproductions of the content data is not limited, the content management data, subsequent to the reproduction of the content data, calculated in step S53, may be identical to the content management data received in step S51.

Now discussed is another recording system in which the content data may be moved to the other recording medium while the content data stored in a recording medium is protected

The content management data contains data indicating the authorized usage of the content data, and data indicating the number of the reproductions of the content data or the number of the copying of the content data. When the content data is used, the content management data is changed in the value thereof in response to the usage of the content data.

The hard disk device 104 records, in a hard disk drive, the data supplied by the personal computer 101 or the MO drive 102, or feeds the personal computer 101 or the MO drive 102 with the data recorded therein.

An SCSI interface board 133, provided with predetermined SCSI cables attached thereto, feeds data supplied by the CPU 121, RAM 123, or HDD 131, to the MO drive 102 or the hard disk

device 104, while feeding data received from the MO drive 102 or the hard disk device 104 to one of the CPU 121, RAM 123, and HDD 131.

The SCSI interface board 133 is connected to the CPU 121 via an external bus 126, a bridge 125, and a host bus 124.

Referring to a block diagram shown in FIG. 10, the construction of the MO drive 102 is discussed. An SCSI interface 151, having SCSI cables attached thereto, feeds data, supplied by a recording and reproducing unit 152 or a memory 153, to the personal computer 101 or the hard disk device 104, while feeding data received from the personal computer 101 or the hard disk device 104 to the recording and reproducing unit 152 or the memory 153.

The SCSI interface 151 performs the cross-authentication process, discussed with reference to the flow diagram shown in FIG. 7, with the personal computer 101 or the hard disk device 104. Only during the cross-authentication process, the SCSI interface 151 reads data stored in the memory 153, while storing predetermined data onto the memory 153.

The memory 153 having an aluminum layer makes it difficult for a third party to understand the internal structure thereof, even if the memory 153 is physically disassembled. The memory 153 is a semiconductor memory and has a tamper resistance that

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permits the memory 153 to operate within a predetermined limited voltage range so that the memory 153 is hard to separately operate. The memory 153 stores the storage key and the hash value of the content management data.

The recording and reproducing unit 152 is loaded with the MO disk 103. The recording and reproducing unit 152 reads, from the loaded MO disk 103, content data, a content key, or content management data, and outputs these data to the SCSI interface 151, while recording, in the loaded MO disk 103, content data, a content key, or content management data supplied by the SCSI interface 151.

Referring to a block diagram shown in FIG. 11, the construction of the hard disk device 104 is discussed. An SCSI interface 161, having SCSI cables attached thereto, sends data, supplied by a hard disk drive 162 or a memory 163, to the personal computer 101 or the MO drive 102, while outputting data, received from the personal computer 101 or the MO drive 102, to the hard disk drive 162 or the memory 163.

The SCSI interface 161 performs the cross-authentication process, discussed with reference to the flow diagram shown in FIG. 7, with the personal computer 101 or the MO drive 102. Only during the cross-authentication process, the SCSI interface 161 reads the data stored in the memory 163, while

The memory 163 having an aluminum layer makes it difficult for a third party to understand the internal structure thereof, even if the memory 163 is physically disassembled. The memory 163 is a semiconductor memory and has a tamper resistance that permits the memory 163 to operate within a predetermined limited voltage range so that the memory 163 is hard to separately operate. The memory 163 stores the storage key and the hash value of the content management data.

FIG. 12 is a flow diagram showing the process of moving the content data, stored in the MO disk 103 loaded in the MO drive 102, to the hard disk drive 162 in the recording system shown in FIG. 8. In step S81, the recording and reproducing unit 152 in the MO drive 102 calculates post-movement content management data, based on the content management data stored in the MO disk 103. The recording and reproducing unit 152 supplies the SCSI interface 151 with the calculated post-movement content management data.

FIG. 12 is a flow diagram showing the process of moving the content data, stored in the MO disk 103 loaded in the MO drive 102, to the hard disk drive 162 in the recording system shown in FIG. 8. In step S81, the recording and reproducing unit 152 in the MO drive 102 calculates post-movement content management data, based on the content management data stored in the MO disk 103. The recording and reproducing unit 152 supplies the SCSI interface 151 with the calculated post-movement content management data.

In step S81, the SCSI interface board 133 sends current content management data and post-movement content management data to the personal computer 101, and the personal computer 101 calculates a hash value, based on the received current content management data and the received post-movement content management data.

In step S84, the SCSI interface 151 in the MO drive 102 causes the recording and reproducing unit 152 to read the content key from the MO disk 103, and decrypts the content key with the storage key stored in the memory 153.

In step S85, the SCSI interface 151 in the MO drive 102 encrypts the decrypted content key with the common key K1 generated in step S82. In step S86, the SCSI interface 151 in the MO drive 102 transmits the content key encrypted with the

to the hard disk device 104.

In the recording system shown in FIG. 8, the content data stored in the MO disk 103 is moved to the hard disk device 104.

If an attempt is made to use the content data recorded in the other MO disk to which the content data is transferred from the MO disk 103, after the content data in the MO disk 103 is used, the cross-authentication process in step S82 reveals that the other MO disk is illegitimate. The content data transferred to the other MO disk therefore cannot be used.

In the above discussion, the recording media to which the content data is recorded are the DVD 3, the MO disk 103, or the hard disk. Alternatively, the recording media may be an optical disk, a semiconductor memory, a magnetic tape or printed matter (printed matter having two-dimensional bar codes printed thereon).

The content data recorded onto the recording medium is sound or images (including a moving image and a still image) in the above discussion. Alternatively, the content data may be a computer program, data (file) describing an access right to a predetermined server, or a ticket storing data for enjoying a predetermined service.

The devices for reproducing the content are the personal computer 1 or the personal computer 101 in the above

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the music data stored in the memory card any longer (cannot reproduce the music any longer).

The interface having the memory card mounted thereon may store the hash value of the content management data. If the content management data stored in the memory card is transferred to another memory card, the transferred music data can never be used once the music data in the memory card is used.

If the interface having the memory card mounted thereon monitors a signal output in the cross-authentication process, records and tampers with the signal, a successful cross-authentication process is impossible because the hash value of the content management data is transmitted together with a random number generated each time.

In this way, the unauthorized copying is prevented, regardless of the type of the recording media to which the content data is recorded, the type of signaling system for signal transmissions, and the type of interfaces.

In the above discussion, the memory 53, the memory 153, and the memory 163 store the hash values that are obtained by applying the hash function to the content management data. Alternatively, these memories may store content management data that is encrypted through the common key system such as

the DES.

The above series of process steps may be executed by hardware or by software. When the series of the process steps are performed by software, a program constituting the software is installed from a program storage medium to a computer that may be assembled into dedicated hardware, or to a general-purpose personal computer which is capable of performing various functions with a variety of programs installed thereinto.

As shown in FIG. 13, the program storage media for storing a program that may be installed and be ready to run in a computer may include a magnetic disk 351 (such as a floppy disk), an optical disk 352 (such as CD-ROM (Compact Disc-Read Only Memory) or DVD (Digital Versatile Disc)), MAGNETO-OPTICAL DISK 353 (such as MD (Mini Disc)), a package medium containing a semiconductor memory 354, ROM 302 that stores a program temporarily or permanently, and a hard disk forming a storage unit 308. The storing of a program into the program storage media may be performed via interfaces such as a router or a modem using wire or wireless communication media such as local area network, the Internet, and digital broadcasting satellite.

In the above discussion, steps describing the program stored in the program storage media may be sequentially

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executed in the order described here. However, it is not a requirement that the steps be sequentially executed in the order described here. Some of the steps may be performed concurrently in parallel or separately.

In the above discussion, the term system is intended to represent an entire system that may be composed of a plurality of apparatuses.

In accordance with the present invention, to authenticate the receiver device, the transmitter device stores the encrypted value of the second data, and transmits the second data to the receiver device, while receiving the encrypted value of the second data from the receiver device, and determines whether the encrypted value of the received second data matches the encrypted value of the stored second data. This arrangement prevents the unauthorized copying of the content data, and limits the number of uses of the content data.

In accordance with the present invention, to authenticate the transmitter device, the receiver device receives, from the transmitter device, the second data that describes the limitation on the usage of the first data while transmitting the encrypted value of the second data to the transmitter device, and generates an encrypted value of the second data

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based on the received second data. This arrangement prevents the unauthorized copying of the content data, and limits the number of uses of the content data.

In the communication system, to authenticate the receiver device, the transmitter device stores the encrypted value of the second data, and transmits the second data to the receiver device, while receiving the encrypted value of the second data from the receiver device, and the transmitter device determines whether the encrypted value of the received second data matches the encrypted value of the stored second data; and to authenticate the transmitter device, the receiver device receives, from the transmitter device, the second data that describes the limitation on the usage of the first data while transmitting the encrypted value of the second data to the transmitter device, and generates an encrypted value of the second data based on the received second data. This arrangement prevents the unauthorized copying of the content data, and limits the number of uses of the content data.

WHAT IS CLAIMED IS:

1. A transmitter device which transmits first data to a receiver device by driving a recording medium that stores the first data and second data that describes a limitation on the usage of the first data, the transmitter device comprising:

storage means for storing an encrypted value of the second data;

communication means which, in the authenticating of the receiver device, transmits the second data to the receiver device while receiving an encrypted value of the second data from the receiver device; and

determination means which, in the authenticating of the receiver device, determines whether the encrypted value of the second data received by the communication means matches the encrypted value of the second data stored in the storage means.

2. A transmitter device according of Claim 1, wherein the storage means inhibits the writing or reading of the encrypted value of the second data in a process other than the authentication process.

3. A transmitter device according to Claim 1, wherein the

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storage means has a tamper resistance.

4. A transmitting method of a transmitter device which transmits first data to a receiver device by driving a recording medium that stores the first data and second data that describes a limitation on the usage of the first data, the transmitting method comprising:

the step of storing an encrypted value of the second data;

in the authenticating of the receiver device, the step of communication for transmitting the second data to the receiver device and for receiving an encrypted value of the second data from the receiver device; and

in the authenticating of the receiver device, the step of determining whether the encrypted value of the second data received in the communication step matches the encrypted value of the second data stored in the storing step.

5. A program storage medium for storing a transmission process program for transmitting first data to a receiver device by driving a recording medium that stores the first data and second data that describes a limitation on the usage of the first data, the program executed by a transmitter device and comprising:

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the step of storing an encrypted value of the second data;
in the authenticating of the receiver device, the step of communication for transmitting the second data to the receiver device and for receiving an encrypted value of the second data from the receiver device; and

in the authenticating of the receiver device, the step of determining whether the encrypted value of the second data received in the communication step matches the encrypted value of the second data stored in the storing step.

6. A receiver device for receiving first data from a transmitter device, the receiver device comprising:

communication means which, in the authenticating of the transmitter device, receives, from the transmitter device, second data that describes a limitation on the usage of the first data while transmitting an encrypted value of the second data to the transmitter device; and

encrypted value generator means for generating the encrypted value of the second data based on the second data received by the communication means, in the authenticating of the transmitter device.

7. A receiver device according to Claim 6, further

comprising random number generator means for generating a random number having a predetermined bit number, wherein the communication means transmits, to the transmitter device, the encrypted value of the second data together with the random number generated by the random number generator means.

8. A receiver device according to Claim 6, further comprising usage limiting data generator means which generates, subsequent to the reception of the first data, third data which describes a limitation on the usage of the first data, based on the second data received by the communication means, wherein the encrypted value generator means generates an encrypted value of the third data generated by the usage limiting data generator means, and

the communication means transmits, to the transmitter device, the encrypted value of the second data together with the encrypted value of the third data.

9. A receiving method of a receiver device for receiving first data from a transmitter device, comprising:

in the authenticating of the transmitter device, the step of communication for receiving, from the transmitter device, second data that describes a limitation on the usage of the

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device for receiving the first data;

the transmitter device comprising:

storage means for storing an encrypted value of the second data;

first communication means which, in the authenticating of the receiver device, transmits the second data to the receiver device while receiving an encrypted value of the second data from the receiver device; and

determination means which, in the authenticating of the receiver device, determines whether the encrypted value of the second data received by the first communication means matches the encrypted value of the second data stored in the storage means; and

the receiver device comprising:

second communication means which, in the authenticating of the transmitter device, receives, from the transmitter device, the second data that describes a limitation on the usage of the first data while transmitting the encrypted value of the second data to the transmitter device; and

encrypted value generator means for generating the encrypted value of the second data based on the second data received by the communication means, in the authenticating of the transmitter device.

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ABSTRACT OF THE DISCLOSURE

A memory stores a hash value of content management data. When an IEEE1394 interface authenticates a personal computer connected thereto via a network, the IEEE1394 transmits content management data to the personal computer while receiving a hash data of the content management data from the personal computer. The IEEE1394 interface then determines whether the received hash value of the content management data matches the stored hash value of the content management data. This arrangement prevents the unauthorized copying of content data, and limits the number of uses of the content data.

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FIG. 1

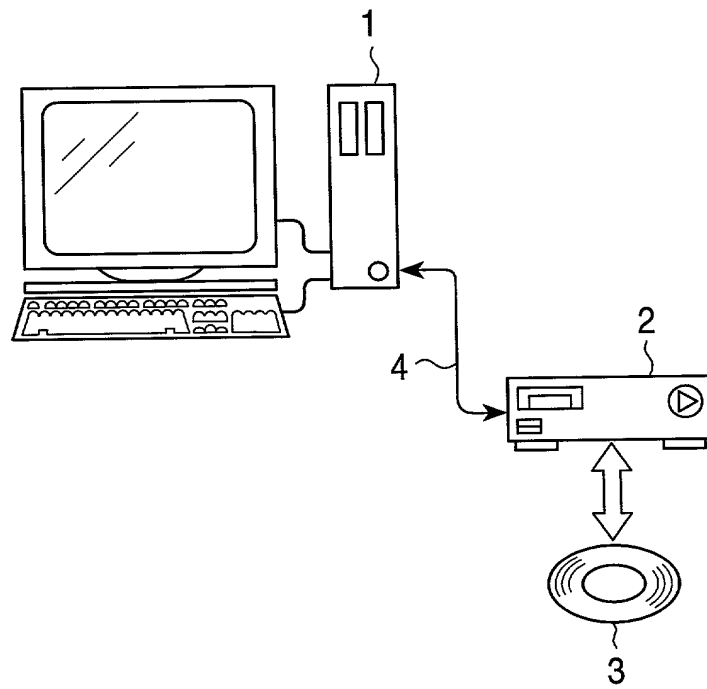


FIG. 2

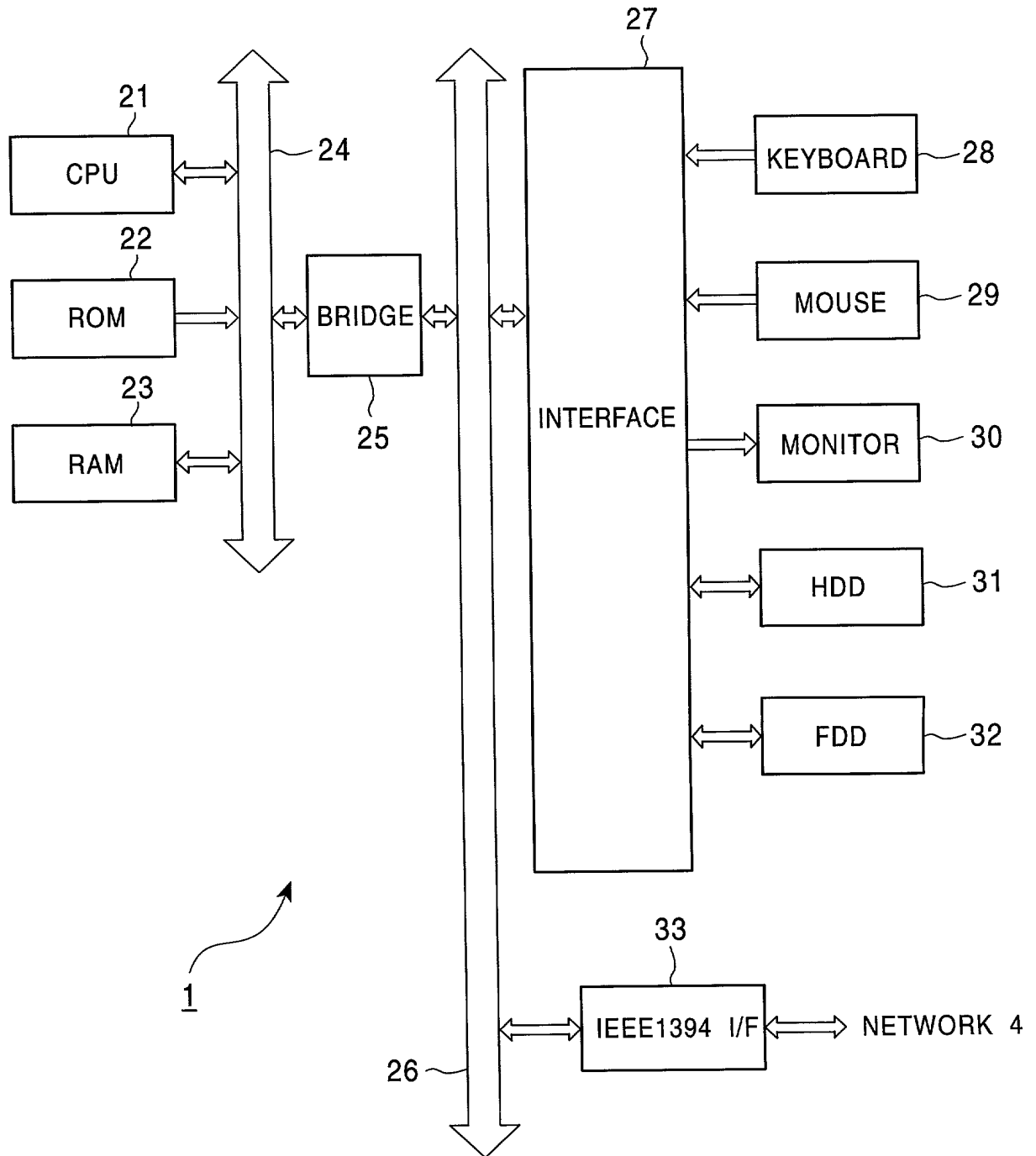


FIG. 3

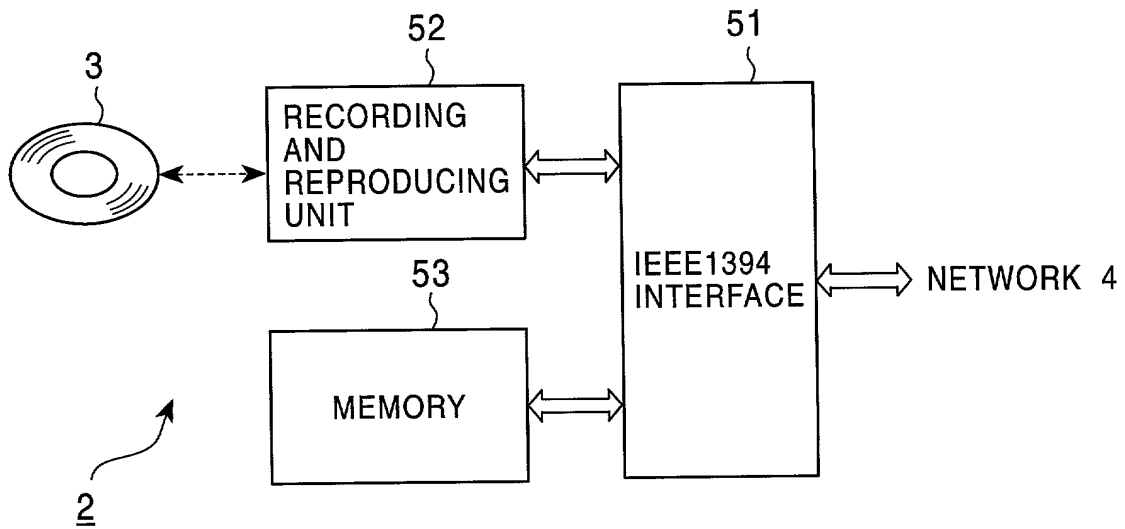


FIG. 4

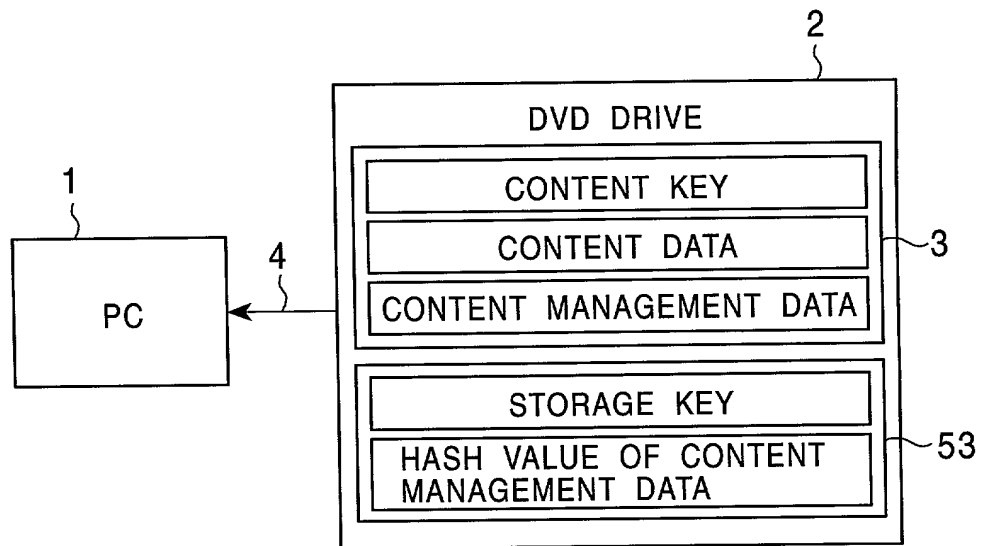


FIG. 5

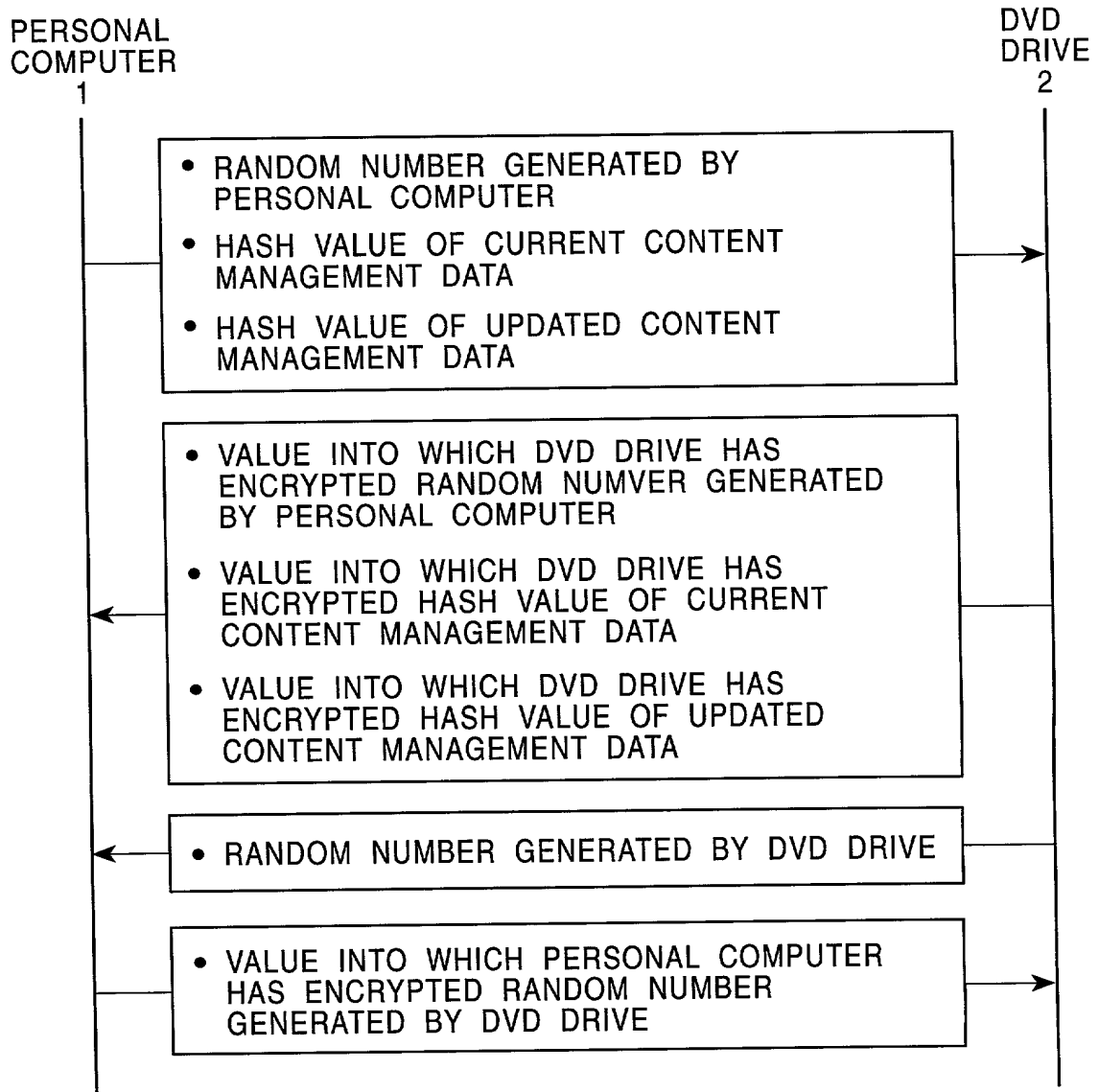


FIG. 6

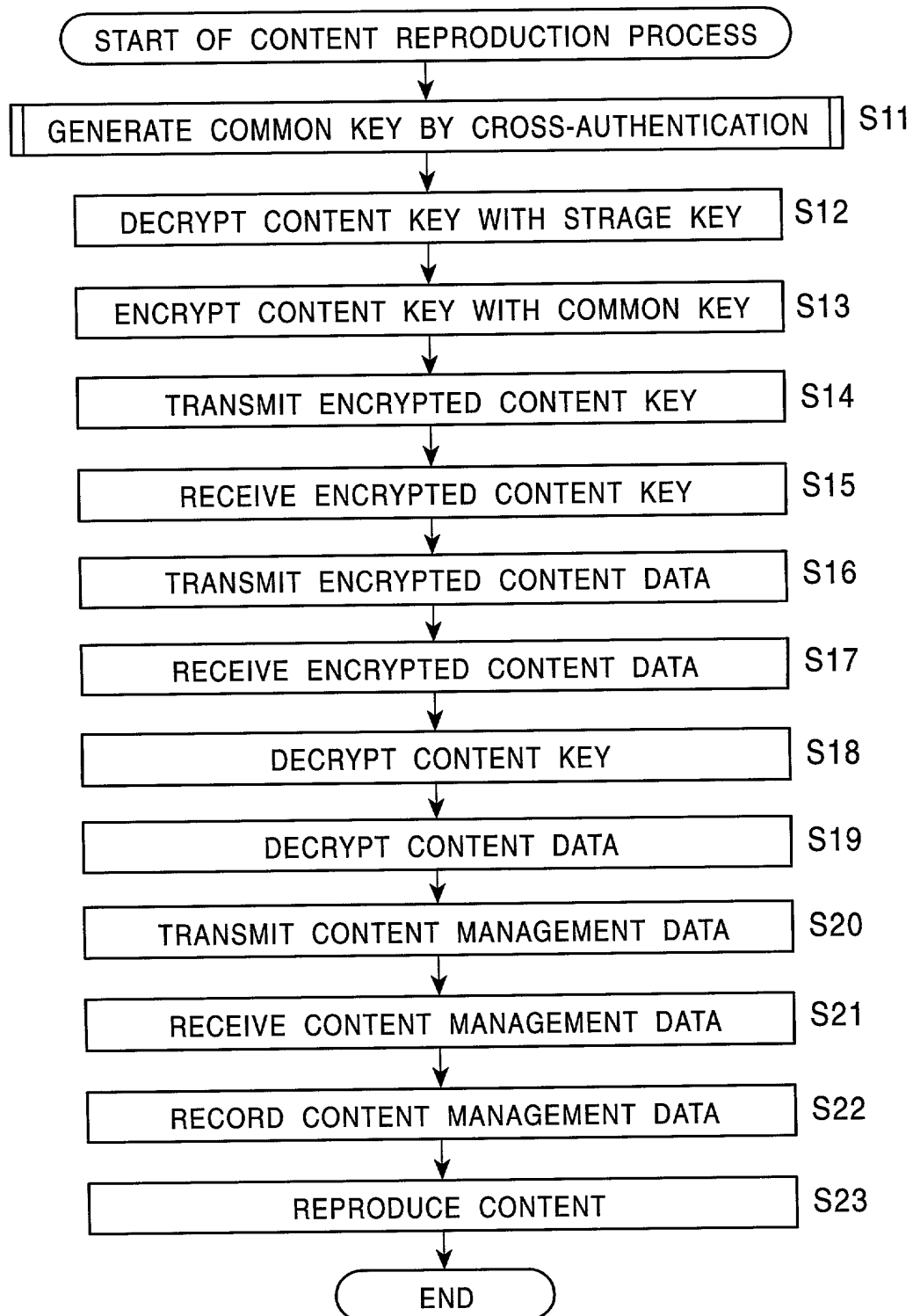


FIG. 7A

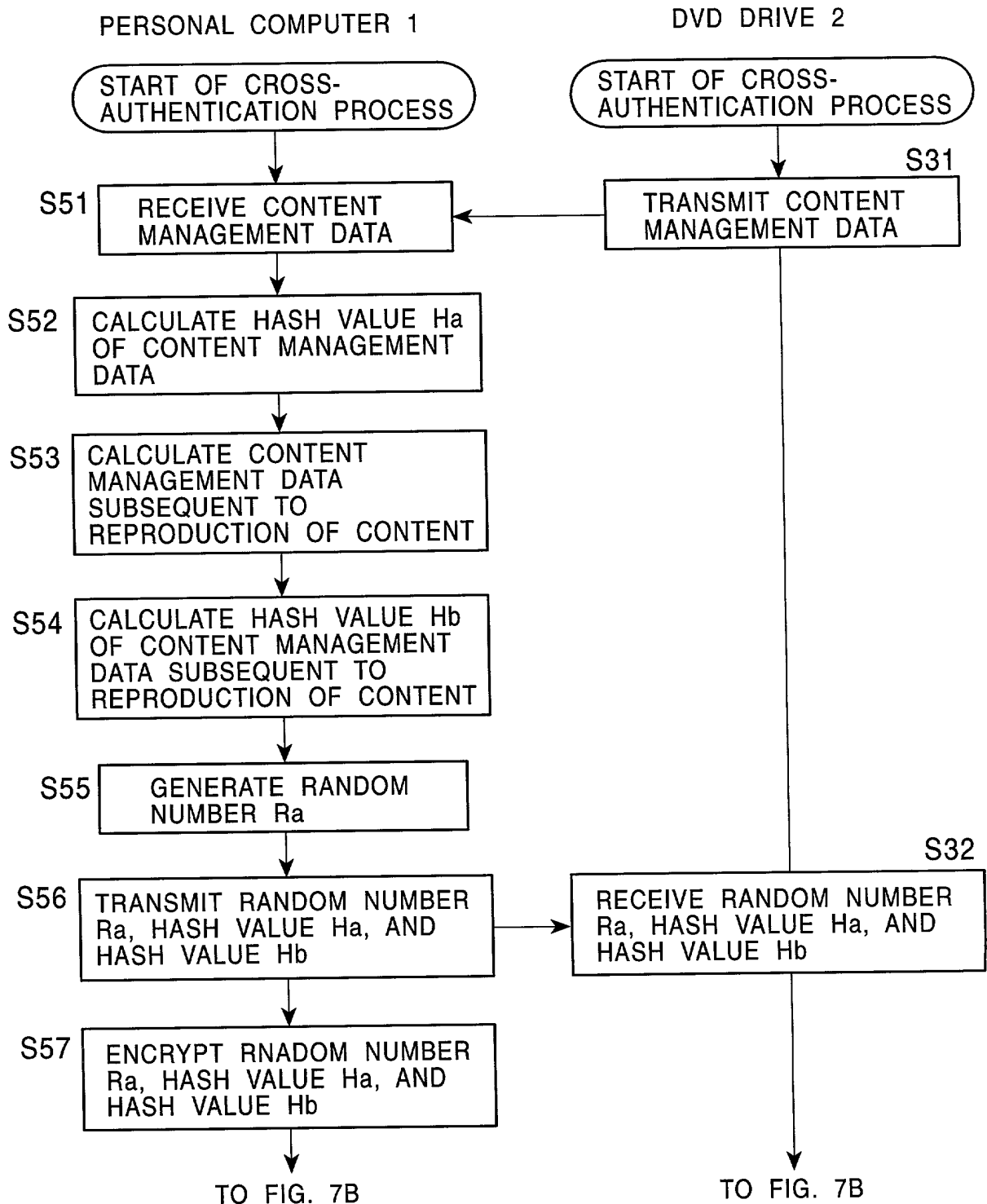
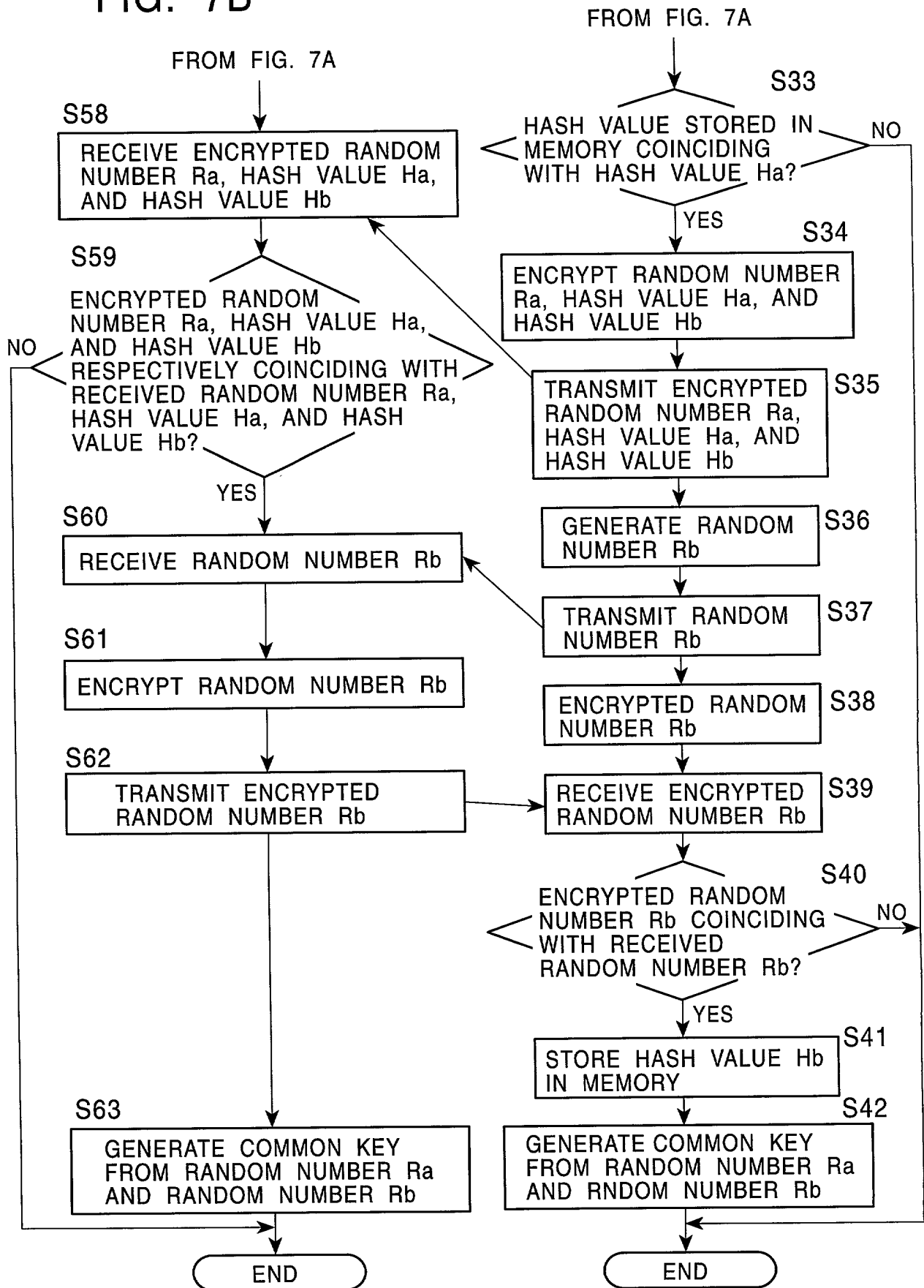


FIG. 7B

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FIG. 8

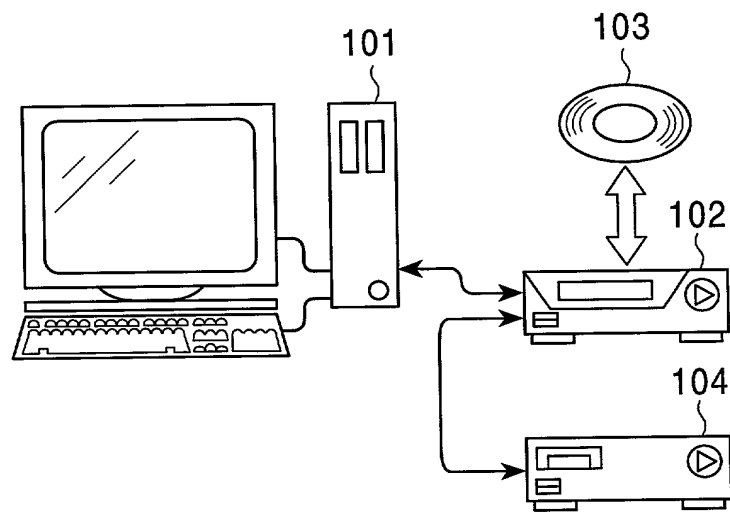


FIG. 9

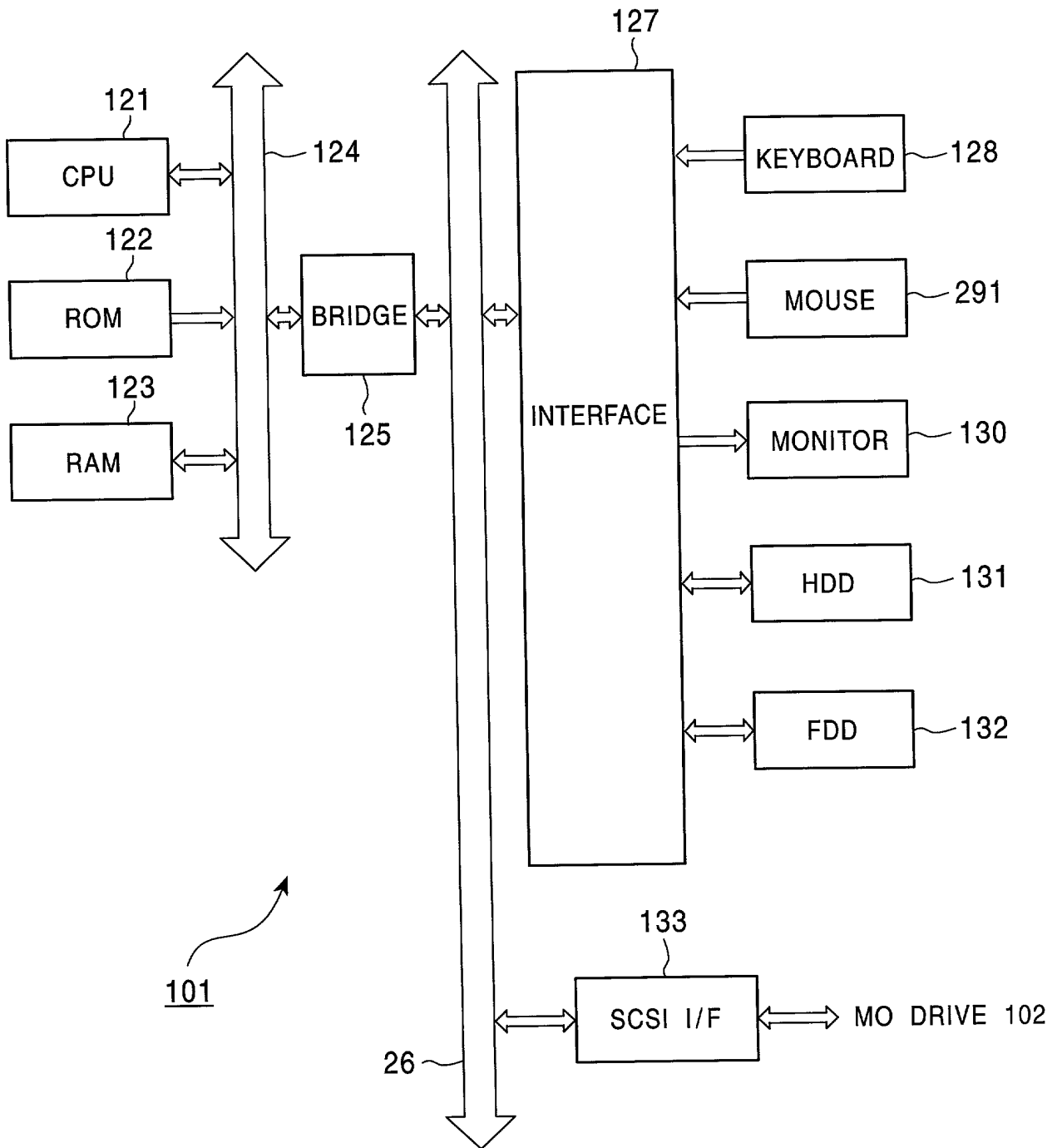


FIG. 10

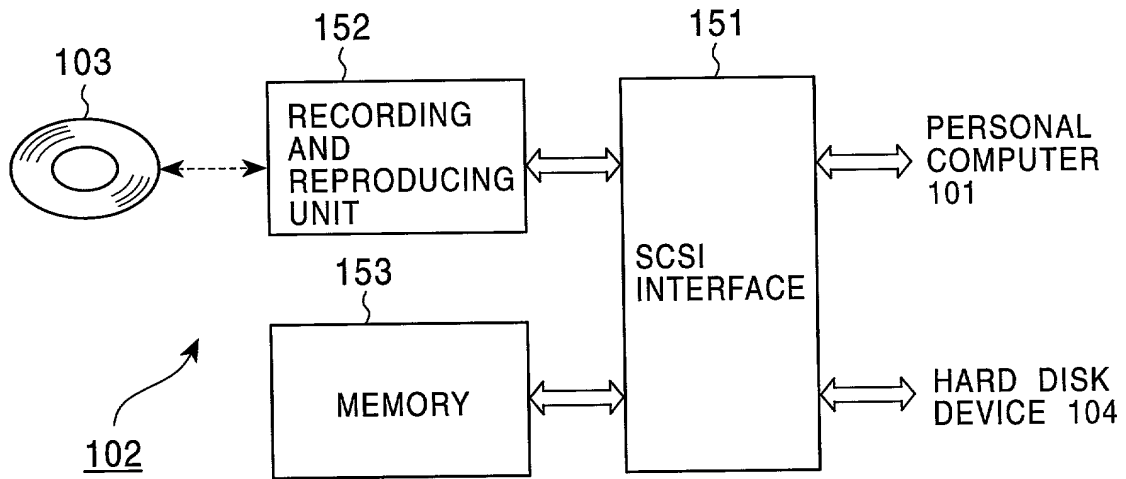


FIG. 11

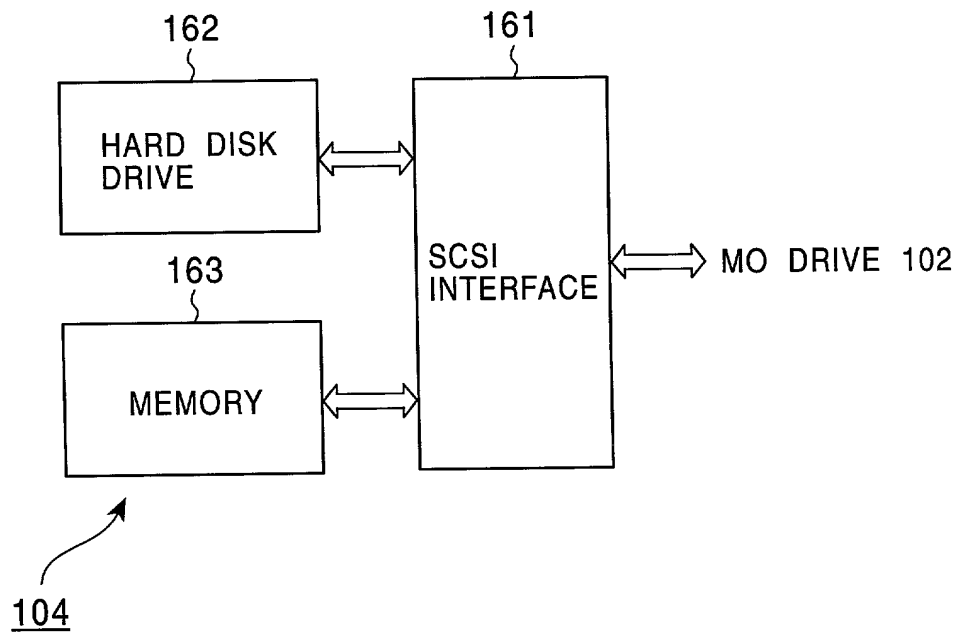
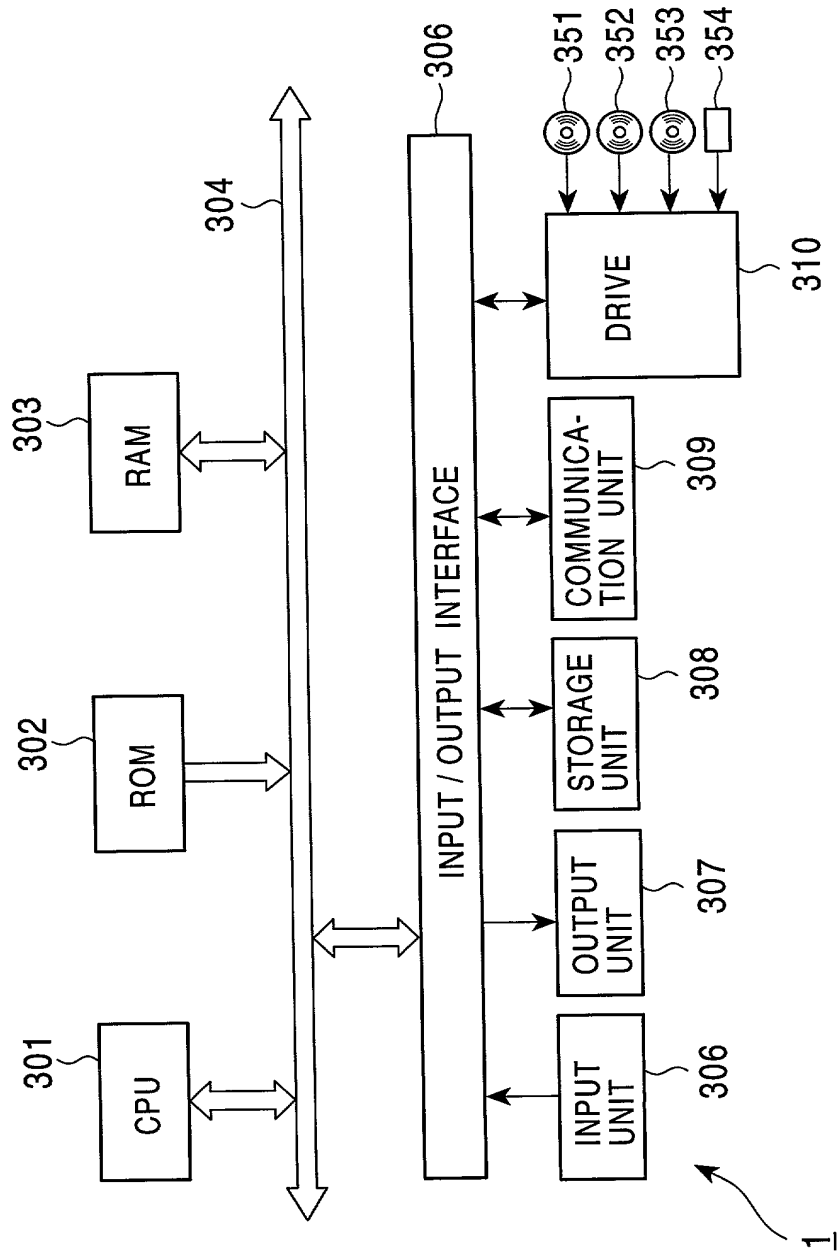


FIG. 13



SONY-T0988

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Declaration and Power of Attorney For Patent Application

特許出願宣言書及び委任状

Japanese Language Declaration

日本語宣言書

下記の氏名の発明者として、私は以下の通り宣言します。	As a below named inventor, I hereby declare that:
私の住所、私書箱、国籍は下記の私の氏名の後に記載された通りです。	My residence, post office address and citizenship are as stated next to my name.
下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。	I believe I am the original, first and sole inventor (if only one named is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled. TRANSMITTER DEVICE, TRANSMITTING METHOD, RECEIVER DEVICE, RECEIVING METHOD, COMMUNICATION SYSTEM, AND PROGRAM STORAGE MEDIUM
上記発明の明細書（下記の欄でx印がついていない場合は、本書に添付）は、 <input type="checkbox"/> 月 日に提出され、米国出願番号または特許協定条約国際出願番号を _____ とし、 （該当する場合） _____ に訂正されました。	the specification of which is attached hereto unless the following box is checked: <input type="checkbox"/> was filed on _____ as United States Application Number or PCT International Application Number _____ and was amended on _____ (if applicable).
私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。	I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.
私は、連邦規則法典第37編第1条56項に定義されたとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。	I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.
私は、米国法典第35編119条(a)-(d)項又は365条(b)項に基づき下記の、米国以外の国の少なくとも一カ国を指定している特許協力条約365(a)項に基づき国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している、本出願の前に出願された特許または発明者証の外国出願を以下に、枠内をマークすることで、示しています。	I hereby claim foreign priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.
Prior Foreign Application(s) 外国での先行出願 P11-239205 (Number) (番号)	Priority Not Claimed 優先権主張なし 26 August 1999 (Day/Month/Year Filed) (出願年月日)
Japan (Country) (国名)	

Japanese Language Declaration

日本語宣言書

(Number) (番号)		(Country) (国名)		(Day/Month/Year Filed) (出願年月日)	
私は、第35編米国法典119条(e)項に基いて下記の米 国特許出願規定に記載された権利をここに主張いたします。				I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.	
(Application No.) (出願番号)		(Filing Date) (出願日)		(Application No.) (出願番号)	
				(Filing Date) (出願日)	
私は、下記の米国法典第35編120条に基いて下記の米 国特許出願に記載された権利、又は米国を指定している特許 協力条約365条(c)に基づく権利をここに主張します。また、 本出願の各請求範囲の内容が米国法典第35編112条 第1項又は特許協力条約で規定された方法で先行する米国特 許出願に開示されていない限り、その先行米国出願書提出日 以降で本出願書の日本国内または特許協力条約国際提出日ま での期間中に入手された、連邦規則法典第37編1条56項 で定義された特許資格の有無に関する重要な情報について開 示義務があることを認識しています。				I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.	
(Application No.) (出願番号)		(Filing Date) (出願日)		(Status: Patented, Pending, Abandoned) (現況: 特許許可済、係属中、放棄済)	
(Application No.) (出願番号)		(Filing Date) (出願日)		(Status: Patented, Pending, Abandoned) (現況: 特許許可済、係属中、放棄済)	
私は、私自身の知識に基づいて本宣言書中で私が行なう表 明が真実であり、かつ私の入手した情報と私の信じるところ に基づく表明が全て真実であると信じていること、さらに故 意になされた虚偽の表明及びそれと同等の行為は米国法典第 18編第1001条に基づき、罰金または拘禁、もしくはそ の両方により処罰されること、そしてそのような故意による 虚偽の声明を行なえば、出願した、又は既に許可された特許 の有効性が失われることを認識し、よってここに上記のごと く宣誓を致します。				I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may be jeopardize the validity of the application or any patent issued thereon.	

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委任状： 私は下記の発明者として、本出願に関する一切の手続きを米特許商標局に対して遂行する弁理士または代理人として、下記の者を指名いたします。（弁理士、または代理人の氏名及び登録番号を明記のこと）

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark office connected therewith (*list name and registration number*)

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* Recognition under 37 CFR 10.9(b)

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